OFFICE OF THE GENERAL COUNSEL
Division of Operations-Management

MEMORANDUM OM 11-41(NxGen)   March 24, 2011

To: All Regional Directors, Officers-in-Charge,
                  and Resident Officers

From: Richard A. Siegel, Associate General Counsel

Subject: Preparation for NxGen ECF Data Migration

This memorandum explains the plan for migrating documents from the Regions' Electronic Case Files (ECFs) into NxGen and provides guidance to Regions to ensure their documents will be migrated into NxGen.

Migration Plan

As each Region enters NxGen later this year, OCIO will transfer documents in the Region's ECFs into NxGen. This will include the ECFs for all cases that were open on January 1, 2007, or later (i.e., all cases that are currently pending and those that closed after January 1, 2007). Users will be able to view documents in the ECFs, but will not be able to add additional documents into the ECFs.[1]

To migrate successfully into NxGen, the documents in the ECFs must be named correctly and placed inside a properly named folder. To identify potential migration problems, OCIO will perform a test migration and will provide the Region with a list of folders and documents that will not migrate properly into NxGen in the test phase. We anticipate this test will occur in mid-April 2011. Regions will then have an opportunity to correct those files and document names so they will migrate into NxGen. Regions should undertake efforts to ensure that the documents and files in open cases are correctly named and stored in order for those files to migrate fully into NxGen.

With respect to closed cases (i.e., those cases closed after January 1, 2007), Regions are encouraged, but not required to ensure complete migration of the ECF files into NxGen. A Program Analyst will be available to each Region to review the Regional ECF information and answer questions on the migration process. A listing of Regional assignments for the Program Analysts is attached.

Guidance on ECFs

The OCIO performed an analysis on many of the Regions' electronic files and identified the following migration issues: (1) improper use of the naming conventions; (2) multiple copies of documents; (3) incorrectly named folders and subfolders; (4) folders for non-Regional Actions; (5) use of archived folders; and (6) case transfers. These issues are discussed below so

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[1] Only ECFs properly stored on the H drive will migrate. No files on the C drive will migrate.

that Regions can avoid additional migration problems and begin correcting the problems in existing ECFs now.

1.   Improper Use of Naming Conventions

The majority of problems the OCIO identified were with documents being misnamed. Examples include:

- The three letter prefix is missing or does not match the Document types provided.
- Extra numbers in the case name folder (e.g. 55-CC-224455). It is not mandatory that the region number contains the leading zero nor is it mandatory that the docket number contain the leading zero. However, you cannot have a docket number with 6 digits where the first digit is not a zero.
- Periods may be missing from the file name (e.g. AFF.55-CA-12345CPSmith)

Per OM 07-55, the standard naming convention for electronic documents should be: 1) Three-letter prefix identifying document type; 2) Case Number; 3) Unique identifier; 4) Three letter suffix showing document type, i.e., doc, pdf (optional).

To migrate successfully, documents that are not named in accordance with the standard naming convention need to be renamed. As NxGen has developed we have modified the list of prefixes; in some cases such as notices, a prefix has been eliminated when new, more specific prefixes have been added. The migration process will automatically adjust for documents with outdated prefixes. Accordingly, Regions do not need to change prefixes that have been changed by Operations, such as the elimination of NOT. Compliance documents which have a four-letter prefix do not need to be changed for the migration process. These will migrate into NxGen with a three-letter prefix and be marked Compliance. See OM 10-74 for a list of changed prefixes.

2.   Multiple Copies of Documents

Per E-Filing instructions, all submissions to the Board should be complete documents. Therefore, exhibits and attachments should not be in separate documents, but should be included in the same pdf as the Motion. If there are documents in the ECF that incorporate all the exhibits and attachments, the separate files should be removed from the ECF. For example, if the ECF contains separate documents labeled as Attachment 1, Attachment 2, and Attachment 3, and the final Motion contains all the attachments, it is not necessary to retain each attachment as a separate document in the ECF.

Many folders have duplicate documents. The most likely reason for this is that a document was drafted in the ECF then subsequently scanned, perhaps to add a signature. The Region may want to remove these duplicate documents from the ECF. Each copy of the document, even if a duplicate, will be migrated into NxGen into the same Action, for example, one dismissal action. The Region will have the ability to remove the duplicate documents from NxGen, but it will not be mandatory.

Multiple copies of the same document in the case file may cause confusion when reviewing the file. It is not mandatory that these multiple copies be removed from the ECF, but

for ease of data review, the Region may want to remove these duplicate or draft documents from the ECF.

3. Incorrectly Named Folders and Subfolders

Folders in the ECF have been misnamed, for instance by using a person's name, either the Board Agent or a Party to the case. Properly named documents in these folders will be migrated into a NxGen Action called "Migration". If the case is closed, it will not be necessary for the Region to move these documents into the correct folder in NxGen. However, once migrated, the Region will want to move documents from the "Migration" Action into the correct NxGen Action for pending cases. The Regions can review their ECF Folder and Subfolders to correct this now, or can wait until OCIO performs the migration test to receive a listing of documents with migration issues. We believe the most effective method is to address these issues now rather than waiting to sort files that are placed in the "Migration" folder.

4. Folders for non-Regional Actions

Some Regions have created subfolders for Actions that are not Regional Actions, for example Appeals or Board Actions. Documents in these non-Regional Actions will not be migrated into NxGen from the ECFs. However, if the Region believes that there are Regional documents in these non-Regional Actions, the Region should review the non-Regional Actions and verify that they do not contain any documents the Region desires to have in the NxGen case file.

5. Archived Folders

Some Regions have created archived ECF folders for closed cases. These ECFs will be migrated into NxGen, as long as the folders, actions and documents are properly named. It will **not** be necessary to move these files or documents prior to the ECF data migration.

6. Case Transfers

Some Regions have folders which appear to have been transferred cases, e.g., folders named 55-CA-12345 – Region 45 Case. These folders and documents will not get migrated into NxGen. The folder name should be renamed to match the case number for which the documents should be associated, for example, the case number of the investigating region. If a case has a status of "Closed – Transferred" in CATS, the documents will not migrate into NxGen.

To assist the Regions, a Program Analyst will be available to review the Regional ECF information and answer questions on the migration process. See the attached listing of Regional assignments for the Program Analysts. Please contact Marge Hamrick, if you have any questions.

/s/
R.A.S.

cc: NLRBU

Attachment

NxGen Program Analyst Assignments

Region	Program Analysts	Phone Number	Region	Program Analysts	Phone Number
1	Vicki	617.565.6537	18	Carlisa	202.273.0107
2	Pat	202.273.1764	19	Carlisa	202.273.0107
3	Vicki	617.565.6537	Anchorage	Carlisa	202.273.0107
4	Carlisa	202.273.0107	SR36	Carlisa	202.273.0107
5	Alex	410.962.2201	20	Vicki	617.565.6537
Washington DC	Alex	410.962.2201	SR37	Vicki	617.565.6537
6	Vicki	617.565.6537	21	Alex	410.962.2201
7	Carlisa	202.273.0107	San Diego	Alex	410.962.2201
Grand Rapids	Carlisa	202.273.0107	22	Pat	202.273.1764
8	Vicki	617.565.6537	24	Alex	410.962.2201
9	Vicki	617.565.6537	25	Vicki	617.565.6537
10	Carlisa	202.273.0107	26	Carlisa	202.273.0107
Birmingham	Carlisa	202.273.0107	Little Rock	Carlisa	202.273.0107
11	Vicki	617.565.6537	Nashville	Carlisa	202.273.0107
12	Alex	410.962.2201	27	Vicki	617.565.6537
Jacksonville	Alex	410.962.2201	28	Carlisa	202.273.0107
Miami	Alex	410.962.2201	Albuquerque	Carlisa	202.273.0107
13	Alex	410.962.2201	Las Vegas	Carlisa	202.273.0107
14	Alex	410.962.2201	El Paso	Carlisa	202.273.0107
SR33	Alex	410.962.2201	29	Pat	202.273.1764
15	Alex	410.962.2201	30	Carlisa	202.273.0107
16	Vicki	617.565.6537	31	Carlisa	202.273.0107
Houston	Vicki	617.565.6537	32	Alex	410.962.2201
San Antonio	Vicki	617.565.6537	34	Vicki	617.565.6537
17	Alex	410.962.2201			
Tulsa	Alex	410.962.2201			